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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

60

Application Number

09/888,324

Filing Date

June 22, 2001

First Named Inventor

Juha Punnonen

Group Art Unit

1643

Examiner Name

Unassigned

Attorney Docket Number

02-106720US

## ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☒ Preliminary Amendment Statement to Support filing and Submission of Sequence Listing  
Electronic Copy of Sequence Listing on CD (2)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☐ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☒ Response to Missing Parts/ Incomplete Application
- ☒ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☒ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition Routing Slip (PTO/SB/69) and Accompanying Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Small Entity Statement
- ☐ Request for Refund

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Additional Enclosure(s) (please identify below)
- receipt acknowledgment postcard

### Authorization to Charge Deposit Account

Please charge Deposit Account No. 50-0893 for any additional fees associated with this paper or during the pendency of this application, including any extensions of time for consideration of the documents enclosed.

Remarks

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name

Emily M. Haliday, Reg. No. 38,903, The Law Offices of Jonathan Alan Quine

Signature

*Emily M. Haliday*

Date

Nov. 26, 2001

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 11-26-01

Typed or printed name

Tracie Brooks

Signature

*Tracie Brooks*

Date

11-26-01



I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

Assistant Commissioner for Patents,

Attn: Box Missing Parts,

Washington, D.C. 20231, on 11-26-01

LAW OFFICES OF JONATHAN ALAN QUINE

By

Tracie Brooks

Tracie Brooks

Attorney Docket No. 02-106720US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Juha Punnonen et al.

Application No.: 09/888,324

Filed: June 22, 2001

For: NOVEL CO-STIMULATORY MOLECULES

Examiner: Unassigned

Art Unit: 1643

TRANSMITTAL LETTER - RESPONSE  
TO NOTICE OF MISSING PARTS

Attn: Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Pursuant to the "Notice to File Missing Parts of Application - Filing Date Granted" dated September 26, 2001, enclosed are the following to be made of record in the above-identified application:

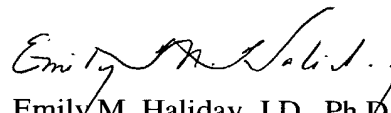
- 1) Executed Declaration
- 2) Power of Attorney and Certificate of Assignee Under 37 C.F.R. § 3.73(b) (+ copy of Assignment - not for recordation-note: The Assignment for recordation is being sent concurrently under separate cover to Box Assignment, pursuant to the MPEP @ Page 300-M and Form PTO-1619A)
- 3) Copy of Notice of Missing Parts
- 4) Transmittal Sheet
- 5) Statement of Support and Preliminary Amendment regarding Sequence Listing and electronic copy of sequence listing on compact disc (2 copies)
- 6) Receipt indication postcard
- 7) Letter to the draftsperson with 39 sheets of formal drawings

Please charge Deposit Account No. 50-0893 for the following fees:

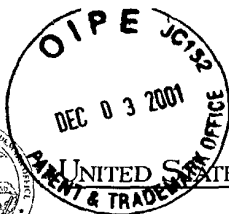
|               |     |                                       |                  |
|---------------|-----|---------------------------------------|------------------|
| Large entity: | (a) | Filing Fee (§ 1.16(a)) (Large Entity) | \$ 740           |
|               | (b) | Excess Claims Fees (§ 1.16(b), (c)):  |                  |
|               |     | $694 - 20 = 674 \times 18 =$          | \$ 12,132        |
|               |     | $35 - 3 = 32 \times 84 =$             | \$ 2560          |
|               | (c) | Multiple dependent claim surcharge    | \$ 270           |
|               | (d) | Missing Parts Surcharge               | \$ 130           |
|               |     | <b>TOTAL FEES TO BE CHARGED</b>       | <b>\$ 15,802</b> |

The Commissioner is hereby authorized to charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to Deposit Account No. 50-0893. *This Transmittal Letter is submitted in duplicate.*

Respectfully submitted,

  
Emily M. Haliday, J.D., Ph.D.  
Reg. No. 38,903

LAW OFFICES OF JONATHAN ALAN QUINE  
P.O. BOX 458  
Alameda, CA 94501  
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Fax (510) 337-7877



COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/888,324         | 06/22/2001          | Juha Punnonen         | 02-106720US            |

CONFIRMATION NO. 7238

22798  
LAW OFFICES OF JONATHAN ALAN QUINE  
P O BOX 458  
ALAMEDA, CA 94501

## FORMALITIES LETTER



\*OC00000006793858\*

Date Mailed: 09/26/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

12/05/2001 TBESHAH1 00000068 500893 09888324

FILED UNDER 37 CFR 1.53(b)

01 FC:101 740.00 CH  
02 FC:103 12132.00 CH  
03 FC:102 2688.00 CH  
04 FC:104 280.00 CH  
05 FC:105 130.00 CH

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$14962.
  - \$12132 for 674 total claims over 20.
  - \$2560 for 32 independent claims over 3.
  - \$270 for multiple dependent claim surcharge.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 15802.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);
  - Drawings must be reasonably free from erasures and must be free from alterations, overwritings, interlineations, folds, and copy marks.

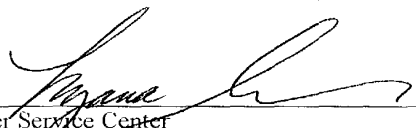
- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

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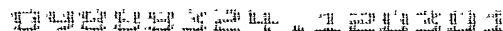
*A copy of this notice **MUST** be returned with the reply.*



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



Approved for use through 09/30/02000 OMB 0651-0031

**Applicant:** **Juha Punnonen, et al.**

Application No.: **09/888,324**

Filed: **June 22, 2001**

Entitled: **NOVEL CO-STIMULATORY MOLECULES**

**Maxygen, Inc.**

, a

**corporation**

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

in the patent application identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_, Frame \_\_, or for which a copy thereof is attached.

OR

B. [ ] A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

[ ] Additional documents in the chain of title are listed on a supplemental sheet

☒ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

October 22, 2001  
Date

Signature

Michael S. Rabson

Typed or printed name  
General Counsel and  
Senior Vice President

Title